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PTO/SB/21 (09-04)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

93

Application Number

10/616,147

Filing Date

07-08-2003

First Named Inventor

Klaus KUNZE et al.

Art Unit

1775

Examiner Name

Attorney Docket Number

KOV-004

ENCLOSURES (Check all that apply)

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| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance Communication to TC |
| <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment/Reply | <input type="checkbox"/> Petition | <input checked="" type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Terminal Disclaimer | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
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| <input checked="" type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> CD, Number of CD(s) _____ | - Form PTO/SB/08B |
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| <input type="checkbox"/> Reply to Missing Parts/Incomplete Application | | |
| <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 | | |

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | | | |
|--------------|---|----------|--------|
| Firm Name | The Law Offices of Andrew D. Fortney, Ph.D., P.C. | | |
| Signature | | | |
| Printed name | Andrew D. Fortney, Ph.D., P.C. | | |
| Date | 06-13-2006 | Reg. No. | 34,600 |

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| Typed or printed name | Amanda S. Tout | Date | 06-13-2006 |

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Atty. Docket No. KOV-004



IN THE UNITED STATES PATENT & TRADEMARK OFFICE

IN RE APPLICATION OF:

:

Klaus KUNZE et al.

: GROUP ART UNIT: 1775

APPLICATION NO: 10/616,147

:

FILED: 07-08-2003

: EXAMINER:

FOR: Compositions and Methods for Forming a Semiconducting and/or Silicon-Containing Film, and Structures formed therefrom

I hereby certify that this document is being facsimile transmitted to the USPTO or deposited with the United States Postal Service as first class mail in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on June 13, 2006.

By:

Amanda S. Tout

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §§ 1.56 AND 1.97-98

MAIL STOP AMENDMENT
COMMISSIONER FOR PATENTS
ALEXANDRIA, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents listed on the attached form(s) for the Examiner's consideration. One copy of each of the listed documents, other than any U.S. patents, U.S. patent publications and/or pending U.S. applications, is submitted herewith.

This Information Disclosure Statement is being filed:

- ☒ concurrently with the application, within three months of the filing date of the application, or before the mailing date of a first Office Action on the merits;
- ☐ before the mailing of a first Office Action after the filing of a Request for Continued Examination (RCE) under 37 C.F.R. § 1.114; or
- ☐ more than three months from the filing date of this application or after the mailing date of the first Office Action on the merits, but before the mailing date of the first to occur of either: (1) a final action under 37 C.F.R. § 1.113; (2) a Notice of Allowance under 37 C.F.R. § 1.311; or (3) an action that otherwise closes prosecution in the application.

Atty. Docket No. KOV-004
Application No: 10/616,147

Therefore:

- ☒ No Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.
- ☐ The fee under 37 C.F.R. § 1.17(p) accompanies this submission.

Statement under 37 C.F.R. § 1.97(e) (if applicable):

- ☐ Each item of information in the accompanying list(s) was first cited in communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ No item of information in the accompanying list(s) was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained herein was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Nothing in this Information Disclosure Statement or its submission shall be construed as an admission against interest in any manner, including as an admission or representation regarding: (i) the completeness of the list of information, (ii) the status of any listed information or document as prior art, (iii) any search that may or may not have been made, (iv) the pertinence or relevance of any listed information to this application, (v) the possible or actual materiality of the listed information to the patentability of the claims of this application, or (vi) the existence or nonexistence of other (potentially) material information. Applicant does not waive any right to take any action that would appropriate to antedate or otherwise remove any listed information or document as a competent or available reference against the claims of the present application.

Respectfully submitted,



Andrew D. Fortney, Ph.D.
Reg. No. 34,600

401 W. Fallbrook Ave., Suite 204
Fresno, California 93711
(559) 432-6847



PTO/SB/08A (07-05)

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 2

Complete if Known

| | |
|------------------------|--------------------|
| Application Number | 10/616,147 |
| Filing Date | 07-08-2003 |
| First Named Inventor | Klaus KUNZE et al. |
| Art Unit | 1775 |
| Examiner Name | |
| Attorney Docket Number | KOV-004 |

U. S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
| | | Number-Kind Code ² (if known) | | | |
| | CA | US- 2005/0176183 A1 | 08-11-2005 | AOKI et al. | |
| | CB | US- 2005/0145163 A1 | 07-07-2005 | MATSUKI et al. | |
| | CC | US- 2004/0248429 A1 | 12-09-2004 | AOKI et al. | |
| | CD | US- 6,767,775 B1 | 07-27-2004 | YUDASAKA et al. | |
| | CE | US- 6,593,591 | 07-15-2003 | YUDASAKA et al. | |
| | CF | US- 6,541,354 | 02-11-2003 | FURUSAWA et al. | |
| | CG | US- 5,989,945 | 11-23-1999 | YUDASAKA et al. | |
| | CH | US- 4,554,180 | 11-19-1985 | HIROOKA | |
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FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T ⁶ |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
| | | Country Code ³ Number ⁴ Kind Code ⁵ (if known) | | | | |
| | CI | WO 00/59041 | 10-05-2000 | SEIKO EPSON CORP. | | |
| | CJ | JP 9-45922 | 02-14-1997 | SHOWA DENKO KK | | |
| | CK | JP 7-267621 | 10-17-1995 | SHOWA DENKO KK | | |
| | CL | JP 6-191821 | 07-12-1994 | SHOWA DENKO KK | | |
| | CM | JP 60-242612 | 12-02-1985 | CANON INC | | |
| | | | | | | |

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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| | | Application Number | 10/616,147 | | |
| | | Filing Date | 07-08-2003 | | |
| | | First Named Inventor | Klaus KUNZE et al. | | |
| | | Art Unit | 1775 | | |
| Examiner Name | | | | | |
| Sheet | 2 | of | 2 | Attorney Docket Number | KOV-004 |

| NON PATENT LITERATURE DOCUMENTS | | | |
|---------------------------------|-----------------------|---|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | DA | Yutaka KITSUNO, Kotaro YANO, Akira SAKAWAKI, Keiji KAWASAKI; Method for forming poly crystal silicon film; Patent Abstracts of Japan; Publication Date: February 14, 1997; Publication No. JP 09045922 A; Japanese Patent Office, Japan | |
| | DB | Kotaro YANO, Yutaka KITSUNO, Akira SAKAWAKI, Keiji KAWASAKI; Formation of silicon membrane; Patent Abstracts of Japan; Publication Date: October 17, 1995; Publication No. JP 07267621 A; Japanese Patent Office, Japan | |
| | DC | Kotaro YANO, Yutaka KITSUNO, Shoichi TAZAWA, Keiji KAWASAKI; Higher order silane containing solution for forming silicon film; Patent Abstracts of Japan; Publication Date: July 12, 1994; Publication No. JP 6191821 A; Japanese Patent Office, Japan | |
| | DD | Yukio NISHIMURA, Hiroshi MATSUDA, Masahiro HARUTA, Yutaka HIRAI, Takeshi EGUCHI, Takashi KATAGIRI; Deposition film forming method; Patent Abstracts of Japan; Publication Date: December 02, 1985; Publication No. JP 60242612 A; Japanese Patent Office, Japan | |
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